



U.S. GENERAL SERVICES ADMINISTRATION
Office of Inspector General

January 4, 2010

The Honorable Calvin L. Scovel III
Inspector General
United States of America
Department of Transportation
Office of Inspector General
1200 New Jersey Avenue, SE
Washington, D.C. 20590

Subject: Report on the Quality Assessment Review of the Investigative Operations of the
Office of Inspector General for the U.S. Department of Transportation

Dear Inspector General Scovel:

We have reviewed the system of internal safeguards and management procedures for the investigative functions of the U.S. Department of Transportation (DOT), Office of Inspector General (OIG), in effect from April 1, 2008, through March 31, 2009. Our review was conducted in conformity with the Council of the Inspectors General on Integrity and Efficiency (CIGIE) Quality Standards for Investigations, the Quality Assessment Review guidelines established by the CIGIE, and the Attorney General Guidelines for Office of Inspectors General with Statutory Law Enforcement Authority, as applicable.

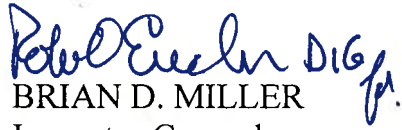
We reviewed compliance with DOT OIG's system of internal policies and procedures to the extent we considered appropriate. The review was conducted at DOT OIG Headquarters in Washington, D.C, and three regional offices. The Quality Assessment Review included, but was not limited to, a sampling of investigative case files—limited checks, preliminary inquiries, and full investigations—closed during the 12-month period ending March 31, 2009.

In conducting our review, we considered the prerequisites of Section 6(e) of the Inspector General Act of 1978 (as amended) and Section 812 of the Homeland Security Act of 2002 (P.L. 107-296), both of which authorize law enforcement powers for eligible personnel within the various offices of presidentially appointed Inspectors General. Those powers may be exercised only for activities authorized by the Inspector General Act of 1978, other statutes, or as expressly authorized by the U.S. Attorney General.



In our opinion, the system of internal safeguards and management procedures for the investigative functions of the DOT OIG in effect for the period April 1, 2008, through March 31, 2009, were in compliance with the quality standards established by the CIGIE and the Attorney General guidelines. Additionally, the safeguards and procedures provide reasonable assurance of U.S. Department of Transportation conforming to professional standards in conducting its investigations.

Sincerely,


BRIAN D. MILLER
Inspector General

SCOPE AND METHODOLOGY

The objective of the quality assessment review was to determine whether internal control systems were in place and operating effectively to provide reasonable assurance that professional standards were being followed. The professional standards included CIGIE Quality Standards for Investigations and the Attorney General Guidelines for Offices of Inspectors' General with Statutory Law Enforcement Authority. The Attorney General Guidelines apply as U.S. Department of Transportation, Office of Inspector General has law enforcement powers pursuant to 6(e) of the Inspector General Act of 1978, as amended.

We performed the review in accordance with CIGIE Qualitative Assessment Review Guidelines for Federal Offices of Inspectors' General, dated January 2008. We used the questionnaires and checklists that are attached to the review guidelines. The team analyzed existing policies and procedures, conducted interviews with management officials and staff, reviewed closed investigative files and other administrative records, and tested compliance with the U.S. Department of Transportation's internal control systems, to the extent we considered appropriate.

The Quality Assessment Review team did not include computer forensics operations in the review; therefore, we did not use the computer forensics activities questionnaire.

Included in our site visits were Headquarters, Washington, D.C.; Fort Worth Regional Field Office, Fort Worth, Texas; Fort Lauderdale Regional Office, Sunrise, Florida; and Chicago Regional Field Office, Chicago, Illinois.

Attachment 2**Review of Closed Investigative Files**

<u>Case File Number</u>	<u>Case File Number</u>
07IHC719001	043H1673001
999P005L005	040H1970001
063P0023002	060HA089001
019R003S001	995P0045002
085R0065001	079R0029001
022P006C003	084R0124001
086R0076001	079HA309001
075R0165001	074R0034001
079HA089001	025R0045001
999R039L001	06HR008H001
062HA002001	063P0023008
072HA042001	052HA272001
042H0192001	25R0135001
032R0102001	I088H0002890500
083R0033001	I08E0003230300